Direct Care Worker (DCW)
Training and Testing Program Review Tool
General Instructions

All DCW Training and Testing Programs (DCW Program) must be initially approved by Arizona Health Care Cost Containment System (AHCCCS) to provide training and testing as outlined in the AHCCCS Contractor's Operations Manual (ACOM), **Chapter 400 -_4xx.**

The Approved DCW Training and Testing Program (Approved Program) that will be audited by a Program Contractor (PC) for continuing program approval can be a:

DCW Agency – An AHCCCS registered agency that provides direct care services such as attendant care and has an approved DCW training and testing program.
or
Delegated Training and Testing Program (Delegated Program) - An entity that does not provide DCW services and that is contracted with a DCW Agency to provide DCW training and testing. Examples include private training agencies that are paid by the DCW Agency and do not charge students for the training and testing.

ACOM III D 1 & 2

Colleges and Private Vocational Training Programs licensed by the Arizona State Board of Post Secondary Education are deemed to meet the requirements of the DCW Training and Testing Program if they submit a signed copy of the Application for Approval for DCW Training and Testing form. They will not require continuing program approval by a PC.

A DCW Agency may have one or more types of training and testing programs. Approved Programs must comply with the standards set in the ACOM. PCs are responsible to ensure an understanding of these standards in order to complete the Training and Testing Program compliance audit. Once a DCW training and testing program has received its initial program approval, the PC will perform continuing program approval audits.

The PC must follow the continuing program approval requirements outlined in ACOM Policy **Chapter 400 - _4xx,** Section III C. A PC will complete DCW Program compliance audits in collaboration with all other AHCCCS Program Contractors as needed.

Instruction for Completing Data Entry by the PC

The PC will complete an audit, including data entry into the Training and Testing Program Review Tool, for all DCW agencies or Delegated Training Programs under the PC assignment.

Each Section has numbers that correspond to the review tool instructions (this document) so that the auditor can reference criteria for completing each section of the review tool. All sections applicable to the type of agency under review must be completed

DCW Agency Review Only

If the Auditor is completing a review of a DCW Agency, the Auditor will skip section 5 of the Training and Testing Program Review Tool.

Delegated Program Review Only

If the auditor is completing a review of a Delegated Program, the Auditor will skip section 4 of the Training and Testing Program Review Tool.

- **Sections 9-13**:

Completing each section of the Audit Review Tool

Some of the DCW Audit Tool Instructions are found in the numbered cells that correspond with that section. This occurs when the auditor needs to consider additional information or take additional steps when selecting the appropriate answer for the area being reviewed. For detailed criteria and instructions, the auditor must refer to the instructions contained within this document, the ACOM Policy, and/or the AHCCCS Medical Policy Manual (AMPM). For the sections that contain additional information, there is a small red triangle in the top right corner of the cell. To read the information, hover the mouse pointer over the cell and it will display the information. Once the mouse pointer is moved away, the instructions will be hidden again.

Section 1 - Reviewing Program Contractor

This section must be completed by the PC staff for all audit reviews

Line 1a - Program Contractor Name: Enter name of AHCCCS Program Contractor completing the audit

Line 1b - Auditor Name: Enter name of Program Contractor employee completing the audit

Line 1c - Auditor Contact Number: Enter the direct contact phone number of the Program Contractor employee completing the audit

Line 1d - Site Review Date: Enter date the audit visit is being conducted

Section 2 - Review Criteria
Select **One Check Box ONLY** based on the reason for the audit that is being completed

Identify the reason that the audit is being completed by selecting the checkmark ☑ from the "Drop Down" listing as shown below.

| 2 Review Criteria | ☑ | New/Initial Program Survey | | Renewal/Continued Program Approval | | | Concern/Complaint | | Post Corrective Action Review |

Line 2a - New/Initial Program Survey: Select this box if the review is the first review after AHCCCS has given approval to the agency to provide DCW training

Line 2b - Renewal/Continued Program Approval: Select this box when Program Contractor auditor is completing the annual renewal audit

Line 2c - Concern/Complaint: Select this box if the Program Contractor is completing an audit due to a filed concern or complaint

Line 2d - Post Corrective Action Review: Select **this box only** if the current audit is related to a corrective action

Section 3- Training and Testing Program Demographic Data
Complete this section for audits conducted with a DCW Agency or Delegated Program

Line 3a - Program Name: Enter name of agency/training program to be audited exactly as shown on the AHCCCS Approved DCW Training and Testing Program list at www.azahcccs.gov/DCW.

Line 3b - Provider AHCCCS ID: Enter the provider's AHCCCS ID number.

Line 3c - AHCCCS Approval Date: Enter the date that the Training Program was initially approved to provide DCW training and testing as shown on the AHCCCS Approved DCW Training and Testing Program list at www.azahcccs.gov/DCW. If there is no approval date – skip all sections and proceed to Section 11 for Corrective Action.

Line 3d - Review Site Address: Enter the physical address of the DCW training program where the records being reviewed were obtained.

Line 3e - Key Site Contact Name: Enter the name of the agency staff person who is responsible for coordinating the audit review with the Program Contractor.

Line 3f - Key Contact Phone Number: Enter the direct contact phone number of the agency staff person responsible for coordinating the audit review with the Program Contractor.

Line 3g - Contact Mailing Address: Verify and enter the address where written correspondence to the agency is to be mailed.

Line 3h - Type of Training and Testing Program: Using the drop down checklist, select either DCW Agency or Delegated Training Program based on the ACOM descriptions included in the definition section of this document.

If the Program under review is a **DCW Agency,** the Auditor will complete section 4 of the Training and Testing Program Review Tool and will skip section 5.

If the Program under review is a **Delegated Program,** the Auditor will skip section 4 and will complete section 5 of the Training and Testing Program Review Tool.
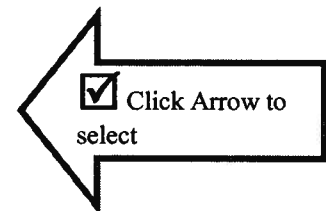

Section 4 - DCW Agency and Program Contractor Identification
Complete this Section with the DCW Agency without delegation

Identify **EACH** Program Contractor that the DCW Agency is contracted to provide DCW services by selecting the checkmark ☑ from the drop down listing as shown below. If the Program Contractor is not listed select "Other" then write in the Program Contractor name and the DCW Agency AHCCCS Provider ID number.

DCW Agency and Program Contractor Identification	Check Appropriate Box(s) ☑	
Bridgeway 110088	☑	▼
Cochise Health Systems 110003		
DES/Division of Developmental Disabilities 110007		

☑ Click Arrow to select

Section 5 - DCW Agencies that are contracted with the Delegated Program being reviewed (complete this Section for Delegated Programs only)

List **EACH** AHCCCS registered DCW Agency and their AHCCCS provider ID that the Delegated Training Program is contracted with to provide DCW training and testing.

PROGRAM REQUIREMENTS REVIEW

The Program Contractor will complete all applicable sections of the review tool when evaluating training and testing program compliance to the DCW training and testing program requirements as outlined in the ACOM. The review will be completed for each approved training program. Review of program criteria (descriptions are included in each section) include:

- Policy and Procedures
- Training Resource
- Trainer Qualifications
- Training Documentation and Records Maintenance
- Test Integrity
- Direct Care Worker Testing Verification

Instruction for Completing Sections 6 – 9:

Select **Compliant** from the drop down listing if the DCW Agency or Delegated Program meets the requirements for the standard.

Select **Corrective Action** from the drop down listing if the DCW Agency or Delegated Program does not meet the requirement for the standard. Enter a note in the comments section for each standard when a Corrective Action is required. Briefly explain the reason for the Corrective Action and briefly outline the information/materials needed to show evidence that the deficiencies are corrected.

Select **Recommendation** from the drop down listing if the DCW Agency or Delegated Program meets the requirement for the standard, but there are areas identified that the DCW Agency or Delegated Program needs improvement. Enter a note in the comments section for each standard when a Recommendation is required. Briefly explain the reason for the recommendation, and if follow-up is requested from the DCW Agency or Delegated Program, briefly explain the follow-up requested.

Section 6 - Policy and Procedures and Resource Standards (complete this section for both DCW Agency and Delegated Training programs)

Line 6a - Policy and Procedure for Training Program Structure and Process
ACOM III A 4
An Approved Program must maintain polices for: training program structure and process; validating/verification and sharing individual DCW test results; and testing process and maintaining test integrity. Policies must be reflective of the training and testing requirements.

Line 6b - Policy and Procedure for Validating/Verification and Sharing Individual DCW Test Results
ACOM III A 5 b

Training and Testing Records

An Approved Program shall share test results upon request by DCW agencies, with the permission of the DCW. The Verification of the Direct Care Worker Testing form (see ACOM Policy, **Chapter 400 -_4xx,** Attachment A) shall be completed when a DCW agency needs to verify a potential DCW employee's training and testing. The Approved Program shall maintain copies of the Verification Testing forms they provide to requesting DCW agencies.

Line 6c - Testing Process and Maintaining Test Integrity
ACOM III A 3 e, f, g, h, I, j, k (Overview - See ACOM for details) & ACOM III A 4 a & b

a. Oral Knowledge Test may be requested. Program can offer alternative languages. Oral test must be completed in a neutral manner.
b. Knowledge and skills test questions shall be random (n*ot applicable until AHCCCS has provided randomization process to Training and Testing programs*).
c. Program may integrate the knowledge and skills testing into the training sessions.
d. Challenge can be offered one time to an employee with relevant education or work experience. Program must verify and document the relevancy. Challenge Test cannot be repeated. Workers who fail must complete the training and testing program.
e. Retesting is permitted. Learner must retake the portion of the test failed for one or more sections (not individual components of a section). If one or more skills are failed, the specific skills can be retested. Trainers will provide training as needed before retesting.
f. A caregiver who is a Registered Nurse, Licensed Practical Nurse or Certified Nursing Assistant per ARS 32, Chapter 15, is exempt from the DCW training and testing requirements. This exemption allows the DCW agency the discretion to test and train their employees as desired.
g. A DCW with an initial hire date prior to 01/01/2011 is deemed to meet the training and testing requirements with the DCW agency(ies) with which they are currently employed. However, if the DCW becomes employed with another agency on or after 01/01/2011, they shall need to meet the training and testing requirements. Unless deemed as noted above, a DCW before they can provide care must have achieved a score of 80% for each knowledge test that they complete and pass all (100%) of the skills test for any curriculum modules they complete. **All DCWs with an initial hire date on or after 01/01/2011 must meet the DCW training and testing requirements by 12/31/2011.**

ACOM III A 4 a & b

Program Policy Standard - An Approved Program must maintain polices for: training program structure and process; validating/verification and sharing individual DCW test results; and testing process and maintaining test integrity. Policies must be reflective of the training and testing requirements.

Line 6d - Resources - Program has access to necessary space to complete training
ACOM III A 3 c

An Approved Program must have access to the necessary space to conduct training. The knowledge based aspect of training can be provided through a variety of approaches, including video and e-learning. Portions of the skills training can also be provided through video and e-learning techniques; however, there must be hands-on training of skills to ensure the student is able to appropriately perform the task (e.g., wheelchair to bed transfer).

Line 6e - Resources - Program has access to necessary equipment
ACOM III A 3 d
An Approved Program must have access to the basic necessary supplies and training equipment (e.g., wheelchair, bed) to facilitate skills training and testing. Appropriate alternative supplies or training equipment may be used.

Section 7 - Trainer Qualification Standards Complete this section with DCW Agency and/or Delegated Training Program

Line 7a - Documentation demonstrates how trainers are prepared and qualified to meet the DCW Training Program Requirements
ACOM III A 2
An Approved Program must be able to document how they prepare or qualify, initially and ongoing, their instructors.

Line 7b - Evidence of 92% minimum passing grade for DCW Knowledge Test
ACOM III A 2 a
Each trainer, before they begin teaching, has achieve a score of 92% for the knowledge test(s) and pass all (100%) of the skills test for any curriculum modules they teach. Testing of a new trainer has to be administered by a trainer associated with an Approved Training and Testing program other than from the program that the trainer to be is employed or contracted to provide DCW training and testing (e.g., a letter from a trainer attesting that the new trainer has met or exceeded the knowledge and skills testing requirements).

Line 7c - Evidence of passing all (100%) skills testing
ACOM III A 2 a
Each trainer, before they begin teaching, has achieve a score of 92% for the knowledge test(s) and pass all (100%) of the skills test for any curriculum modules they teach. Testing of a new trainer has to be administered by a trainer associated with an Approved Training and Testing program other than from the program that the trainer to be is employed or contracted to provide DCW training and testing (e.g., a letter from a trainer attesting that the new trainer has met or exceeded the knowledge and skills testing requirements).

Line 7d - Documentations that verifies Trainers meet the adult hands-on caregiver experience requirement
ACOM III A 2 b
Trainers must have substantive hands-on experience as a caregiver of at least one year. Experience must include providing personal care and working with relevant client populations, such as older adults or individuals with disabilities, including family members.

The following can apply for situations **prior to 1/1/2012**: If the trainer employed by the approved program does not have the minimum one year of experience, they must obtain at least 40 hours of hands-on experience within 3 months of the agency receiving its notification as an approved program.

Line 7e - Evidence of Licensure, certifications, and coursework
ACOM III A 2 d

Evidence showing that each trainer has provided documentation of any applicable licenses, certifications, or coursework.

Line 7f - Documentation that verifies Expert and Assistant Trainers have qualifications to train the assigned curriculum topic according to DCW Training Program Criteria
ACOM III A 3 a

Individuals who are "experts" or licensed / certified on a training subject (e.g., Physical Therapist or Registered Nurse to train on body mechanics) may provide training related to their area of expertise to students in the absence of the trainer. The Approved Program is responsible to ensure that other individuals used to provide training are capable / competent to provide the training they are providing and that training supports "The Principle of Caring" Curriculum. Trainers may have assistant trainers to assist with training. The trainer must be present for all training if the assistant trainer does not meet the trainer requirement.

Line 7g - Documentation that verifies Trainers meet the adult teaching experience requirement
ACOM III A 2 c

Evidence that each trainer has at least one year experience in teaching groups of adults (any field) or three months (100 plus hours) preparation to become an instructor in direct care. Preparation can include coaching, mentoring, co-teaching, and coursework.

Line 7h - Documentation demonstrates Trainer has completed at least two trainings per year
ACOM III A 2 e

A trainer to continue as a qualified trainer shall participate in teaching of at least two (2) DCW training classes per year.

Section 8 - Training Documentation and Record Maintenance Standards Complete this
section with DCW Agency and/or Delegated Training Program

Line 8a - Program uses "Principles of Caregiving" or shows evidence that their Training Program curriculum meets Program Criteria
ACOM III A

Approved Programs must comply with all policies for training and testing of DCWs. Only Approved Programs may administer the required Arizona Standardized DCW test. Tests administered by an organization that is not an Approved Program are not valid.

ACOM III A 1 a, b & c
Curriculum Standards
An entity using the "Principles of Caregiving" need only attest that it is utilizing these instructional materials. There is nothing that restricts an entity seeking approval or an Approved Program from including other training material. An entity not using the "Principles of Caregiving" competencies must submit evidence that its training curriculum meets the requirements established for the "Principles of Caregiving". An Approved Program must routinely update their curriculum to align with updates posted to the AHCCCS website at www.azahcccs.gov/dcw.

Line 8b - Maintains Curriculum based on updates posted to the AHCCCS website www...
ACOM III A 1 c & ACOM III C 1 a
On-site Visit

Information and documents to be provided by the Approved Program and reviewed by the Program Contractor include but are not limited to policies, qualifications of trainers, qualifications of individuals who are "experts" or licensed / certified on a training subject, training records/logs, testing records (including challenge tests), completed Verification of Testing forms, evidence of secure storage of written and skills tests, curriculum updates, evidence of adequacy of training space and evidence of access to the necessary equipment to provide the skills training and testing. Other documents must be made available as requested by the Program Contractor

Line 8c - Maintains comprehensive Training Program Documentation
ACOM III A 5 a
An Approved Program shall maintain accurate and complete records of all training and testing. This includes but is not limited to names of trainers including the names of any individual experts used, schedules (dates and times), class rosters with evidence of student attendance (student and trainer signatures) and test results.

Line 8d - Evidence of Shared results as requested by other DCW agencies
ACOM III A 5 b
An Approved Program shall share tests results upon request by DCW agencies, with the permission of the DCW. The Verification of Direct Care Worker Testing form (see ACOM Policy, **Chapter 400 -_4xx,** Attachment A) shall be completed when a DCW agency needs to verify a potential DCW employee's training and testing. The Approved Program shall maintain copies of the Verification Testing forms they provide to requesting DCW agencies.

Line 8e - Evidence of secure storage for written and skills tests
ACOM III A 3 f
An Approved Program must ensure that all written and skills test questions remain secured.

Line 8f - Maintains Individual Direct Care Worker Training Records (Skills/knowledge test results, Repeat tests, Fax)
ACOM III A 5 a
An Approved Program shall maintain accurate and complete records of all training and testing. This includes but is not limited to names of trainers including the names of any individual experts used, schedules (dates and times), class rosters with evidence of student attendance (student and trainer signatures) and test results.

ACOM III C 1 b
Upon request from the Program Contractor, the Approved Program will provide data (e.g., rosters) reflecting all individuals that were trained and tested for the audit period under review. A random sample of 50%, but no more than 10 individual training records will be selected by the Program Contractor to evaluate compliance of DCW training and testing requirements. The sample selection shall not be selected from a sole training session, but shall be representative of training sessions that have occurred throughout the audit period.

Line 8g - Evidence that Training Program documentation is retained for at least 6 years
ACOM III A 5 c
Records of all training and testing shall be retained for six (6) years.

Section 9 - Test Integrity Standards Complete this section with DCW Agency and/or Delegated Training Program

Line 9a - Evidence of Random Knowledge Testing
ACOM III A 3 f
Selection of knowledge skills test questions shall be random. The random selection of knowledge test questions must be representative of the competencies taught to the student(s). Test Questions selected must align with the training module/s completed. See Testing Guidelines @ www.azahcccs.gov/dcw. (*Not applicable until AHCCCS has provided randomization process to Training and Testing programs*)

Line 9b - Evidence of Hands-on Skills testing
ACOM III A 3 c
Portions of the skills training can be provided through video and e-learning techniques; however, there must be hands-on training of skills to ensure the student is able to appropriately perform the task (e.g., wheelchair to bed transfer).

Line 9c - Knowledge Test aligns with Training Modules Completed
ACOM III A 3 f
Selection of knowledge skills test questions shall be random. The random selection of knowledge test questions must be representative of the competencies taught to the students. See Testing Guidelines @ www.azahcccs.gov/dcw.

Line 9d - Evidence of testing accommodation for written or oral testing
ACOM III A 3 e
If an individual is unable to take a written test, they may request to take an oral knowledge test. An approved training and testing program may offer the tests to a student in a language other than English. If an oral knowledge test is provided it must be read from a prepared text in a neutral manner.

Line 9e - Evidence of Challenge Testing according to Training Program Criteria
ACOM III A 3 h & ACOM III A 3 i; ii
An Approved Program may offer the challenge test once to an employee if they have education similar to what is required for DCWs or work experiences similar to that performed by DCWs. The Approved Program offering the challenge test must verify and document the related educational and work experiences. The challenge test cannot be repeated. Anyone who takes the challenge test and fails must go through the training and pass the knowledge and skills test in order to become a Direct Care Worker.

Line 9f - Knowledge and skills tests includes Level I Introduction to and Fundamentals of Caregiving.
See AMPM, Chapter 1200, Section 1240, F 3 a

Line 9g - Knowledge and skills testing include at least one Level II Module
See AMPM, Chapter 1200, Section 1240, F 3 b

Section 10 - Direct Care Worker Testing Verification Standards (complete this section with DCW Agency and/or Delegated Training Program)

This section addresses review of a student's skills and knowledge testing based on the program's training rosters for the review period. All students must complete and pass knowledge and skills testing for Level I Introduction and Fundamentals of Caregiving. All students providing care to someone outside their family (Family DCWs) are required to complete and pass knowledge and skills testing of at least one Level II training module.

> **Before they can provide care, DCW students must achieve a score of 80% for each knowledge test that they complete and pass all (100%) of the skills test for any curriculum modules they complete.**

Section 10 lines 1-10 left Direct Care Worker Initials
List the initials of each student that is randomly selected from training rosters for verification of skills and knowledge testing.

Column 10a Direct Care Worker Initials
Auditor will complete a review of the sample selection of students identified through random selection from training rosters for the period of time being reviewed. Enter the initials of each student record reviewed on the lines provided (Section 10, lines 1-10).

Columns 10b - 10e are populated with drop down selections that are applicable to the area being reviewed. The auditor will select the appropriate answer from the drop down list based on the data reviewed for the individual direct care worker training and testing. The Auditor will use the following descriptions when selecting the appropriate answer from the drop down list:
- Evidence- Documentation in the student's record reflects evidence of Level I test completion with a passing score..
- No Evidence- Documentation in the student's record does not reflect evidence of Level I test completion with a passing score.

Any area that is answered with a "No Evidence" or a "NA" answer requires a comment by the auditor reflecting the reason for the answer and any actions required by the Approved Program.

If an auditor identifies a trend based on training documentation, a Corrective Action or Recommendations may be issued. For example, multiple answers for "no evidence" could mean that there is insufficient training or insufficient documentation of training for that category. A Corrective Action or Recommendation can be issued to correct the deficiency.

Column 10b L1 - Knowledge

All students must complete and pass a standardized knowledge test for Level I (LI) Fundamentals of Caregiving (see exemptions).

Column 10c L1 – Skills

All students must complete and pass a standardized skills test that demonstrates competency related to curriculum covered in Level I (LI) Fundamentals of Caregiving (see exemptions).

Column 10d L2 - Knowledge

All Direct Care Workers who provide care to a person who is not a family member must complete and pass a standardized knowledge test for at least one Level 2 (L2) Module. Modules included in the Level 2 training include (see exemptions):
- Aging and Physically Disabled
- Developmentally Disabled
- Alzheimer's Disease

The DCW may complete one or more Modules from Level 2 training.

Column 10e L 2 - Skills

All Direct Care Workers who provide care to a person who is not a family member must complete and pass a standardized skills test that demonstrates competency related to curriculum covered in at least one Level 2 learning Module (see exemptions). Modules include:
- Aging and Physically Disabled
- Developmentally Disabled
- Alzheimer's Disease
- The DCW may complete one or more Modules from Level 2 training.

Column 10f - L 2 Module Completed

The DCW may complete one or more Modules, but must complete at least one (see exemptions). Based on review of documentation in the DCW record, select the appropriate answer from the Drop Down Listing based on the following descriptions:

- Aging and Physical Disabilities- Select this answer if the documentation in the DCW Record reflects evidence of completing this Level 2 Training and Testing Module with a passing score.
- Developmental Disabilities- Select this answer if the documentation in the DCW Record reflects evidence of completing this Level 2 Training and Testing Module with a passing score.
- Alzheimer's Disease- Select this answer if the documentation in the DCW Record reflects evidence of completing this Level 2 Training and Testing Module with a passing score.
- Multiple Modules- Select this answer if the documentation in the DCW Record reflects evidence of completing more than one Level 2 Training and Testing Module with a passing score. It is a requirement to identify the Title of each module completed in the Comment section (Column 13i) on the line associated with the DCW record being reviewed.

- NA- Select "NA" if the documentation in the DCW Record indicates that the DCW is providing care to a family member only. It is a requirement to identify the that the DCW is providing care to a family member only by entering "FAC" (Family Attendant Care) or if the documentation in the DCW Record indicates that the DCW is exempt from training and testing requirements according to the ACOM Policy/in Comment section (Column 13i) on the line associated with the DCW record being reviewed. NA will be selected for any DCW who disenrolled from the Training and Testing Program prior to testing.

Column 10g - Challenge Test
ACOM III A 3 h
An Approved Program may offer the challenge test once to a student if they have education similar to what is required for DCWs or work experiences similar to that performed by DCWs. The Approved Program offering the challenge test must verify and document the related educational and work experiences.
The challenge test cannot be repeated. Anyone who takes the challenge test and fails must go through the training and pass the knowledge and skills test in order to become a Direct Care Worker.

Auditor Instructions: In order to assess that Approved Programs are offering challenge testing and following criteria related to retesting and retraining, the Program Contractor must identify whether the student completed a challenge test.

Select the appropriate answer from the drop down listing:
- Yes- Select "Yes" if the documentation in the student record reflects that the student completed Challenge testing for any section of the training and testing program. A comment is required identifying all sections completed through Challenge Testing and identifying any areas that the student did not pass the required retraining.
- N/A- Select "N/A" if the documentation in the student record does not reflect that the student completed Challenge testing for any section of the training and testing program.

Column 10h – Retesting
ACOM III A 3 i; i & ii
Retesting is permitted within a training program. If a test is failed, the learner must retake this portion of the test (i.e. not just discuss a specific question). If one or more skills are failed, the specific skills can be retested. Trainers will provide additional training as needed before retesting.

The challenge test cannot be repeated. Anyone who takes the challenge test and fails must go through the training and pass the knowledge and skills test in order to become a Direct Care Worker.

Select the appropriate answer from the drop down listing:
- Yes- Select "Yes" if the documentation in the student record reflects that the student completed Retesting for any section of the training and testing program. A comment is required identifying all sections completed through Retesting and identifying any areas that the student did not pass the required retraining.
- N/A- Select "N/A" if the documentation in the student record does not reflect that the student completed Retesting for any section of the training and testing program.

Column 10i - Comments

The "Comment" section may be used to enter any recommendation, correction requirements, or other pertinent data. Data entry must align with the area reviewed in the Direct Care Worker Training Verification Standards Section of the review tool.

TRAINING AND TESTING PROGRAM APPROVAL STATUS

Section 11 - Training and Testing Program - Post Audit Status

The Program Contractors will communicate audit findings by sending the PC Training and Testing Program Compliance Notification Letter **(see letter template)** to the DCW Agency or Delegated Program.

Using the information entered in the Comments areas of the audit tool, Program Contractors will include Corrective Action Plans or Recommendations with the PC Training and Testing Program Compliance Notification Letter to the DCW Agency or Delegated Program. Regarding Corrective Action Plans, PC will follow up based on ACOM III C 3 a-f.

Line 11a - Approval

Select the checkmark ☑ from the drop down listing if the DCW Agency or Delegated Program has met the minimum standards required to be an Approved Program.

Line 11b - Approval with Recommendation

Select the checkmark ☑ from the drop down listing if the DCW Agency or Delegated Program has met the minimum standards required to be an Approved Program, but there are areas that are identified that the DCW Agency or Delegated Program needs to improve.

Line 11c - Provisional Approval Pending Corrective Action

Select the checkmark ☑ from the drop down listing if the DCW Agency or Delegated Program has not met the minimum standards required to be an Approved Program. An Approved Program on a provisional status can continue to provide training.

ACOM III C 3 a

If the Program Contractor determines that the DCW Agency or Delegated Program needs to correct deficiencies it shall issue a notice to the Agency/Program of provisional approval and the need for a corrective action plan (CAP). The Agency/Program should be provided adequate information from the PC to develop and implement a CAP.

Line 11d - Denial

Select the checkmark ☑ from the drop down listing if the DCW Agency or Delegated Program has not met the minimum standards required to be an approved training and testing program **and** has failed to correct deficiencies after two attempts at a CAP.

ACOM III C 3 a – f

DCW Agency or Delegated Program has the opportunity to correct deficient areas of their program under a CAP. The Program Contractor will review the CAP and issues its determination within 30 days of receipt of the CAP. The Program Contractor will make the decision if an on-site review is needed to determine if the CAP was implemented. If the Program Contractor determines that the program is still out of compliance,

the CAP process will be repeated one more time. If the Program Contractor determines that the program is still out of compliance, 3.a. b. and c. will be repeated one more time. Failure to correct deficiencies after two attempts at a CAP will result in the denial of the training and testing program.

Section 12 - Program Contractor Post Review Notification

ACOM III C 3 a - f
Line 12a - Communication of review completion with approval or corrective action to the Provider/Agency
Enter the notification date that written communication was sent to the DCW Agency notifying them of the completed audit review results.

Line 12b - Communication of review completion with approval or corrective action to the Delegate Training Program
If applicable, enter the notification date that written communication was sent to the Delegate Training Program notifying them of the completed audit review results.

Line 12c - Communication of review completion with approval or corrective action to AHCCCS
Enter the notification date advising AHCCCS of the Training Program Agency approval status